

FORM PTO-1390  
(REV. 11-2000)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
P/62959-PCT

# TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/049176

INTERNATIONAL APPLICATION NO.  
PCT/IB00/01221

INTERNATIONAL FILING DATE  
August 10, 2000

PRIORITY DATE CLAIMED  
August 12, 1999

TITLE OF INVENTION **BROADBAND POLARIZATION FILTER**

APPLICANT(S) FOR DO/EO/US **Uwe ROSENBERG; Werner SPELDRICH**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information: **Receipt Acknowledgment Postcard**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/049176</b>		INTERNATIONAL APPLICATION NO. <b>PCT/IB00/01221</b>		ATTORNEY'S DOCKET NUMBER <b>P/62959-PCT</b>																																																																		
<div>21. <input checked="" type="checkbox"/> The following fees are submitted:</div> <div><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,040.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00</div> <div><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div> <div>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</div> <table border="1" style="width:100%; border-collapse: collapse;"><thead><tr><th style="width:20%;">CLAIMS</th><th style="width:20%;">NUMBER FILED</th><th style="width:20%;">NUMBER EXTRA</th><th style="width:20%;">RATE</th><th style="width:20%;">\$</th></tr></thead><tbody><tr><td>Total claims</td><td>9 - 20 =</td><td>0</td><td>x <b>\$18.00</b></td><td>\$0.00</td></tr><tr><td>Independent claims</td><td>1 - 3 =</td><td>0</td><td>x <b>\$84.00</b></td><td>\$0.00</td></tr><tr><td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td><td>+ <b>\$280.00</b></td><td>\$280.00</td></tr><tr><td colspan="4"><b>TOTAL OF ABOVE CALCULATIONS =</b></td><td>\$1,170.00</td></tr><tr><td colspan="4"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</td><td>\$0.00</td></tr><tr><td colspan="4"><b>SUBTOTAL =</b></td><td>\$1,170.00</td></tr><tr><td colspan="4">Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td><td>\$0.00</td></tr><tr><td colspan="4"><b>TOTAL NATIONAL FEE =</b></td><td>\$1,170.00</td></tr><tr><td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +</td><td>\$0.00</td></tr><tr><td colspan="4"><b>TOTAL FEES ENCLOSED =</b></td><td>\$1,170.00</td></tr><tr><td colspan="4"></td><td><b>Amount to be refunded:</b> \$</td></tr><tr><td colspan="4"></td><td><b>charged:</b> \$</td></tr></tbody></table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total claims	9 - 20 =	0	x <b>\$18.00</b>	\$0.00	Independent claims	1 - 3 =	0	x <b>\$84.00</b>	\$0.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <b>\$280.00</b>	\$280.00	<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1,170.00	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0.00	<b>SUBTOTAL =</b>				\$1,170.00	Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0.00	<b>TOTAL NATIONAL FEE =</b>				\$1,170.00	Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +				\$0.00	<b>TOTAL FEES ENCLOSED =</b>				\$1,170.00					<b>Amount to be refunded:</b> \$					<b>charged:</b> \$	<b>CALCULATIONS PTO USE ONLY</b>	
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a. ☒ A check in the amount of **\$1,170.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-1145. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**

**KIRSCHSTEIN, OTTINGER, ISRAEL & SCHIFFMILLER, P.C.**  
489 Fifth Avenue  
New York, New York 10017  
(212) 697-3750

SIGNATURE:

NAME: **Alan Israel**

REGISTRATION NUMBER: **27,564**

*I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail No. EL 337 912 074 US in an envelope addressed to: Box: PCT, Commissioner of Patents and Trademarks, Washington, D.C., 20231, on: February 7, 2002*

(date) a

Alan Israel

Reg. No. 27,564

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